

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: YIHUA CHANG ET AL.

Appln. No.: 09/815,251

Filed: March 22, 2001

For: WATER-DISPERSIBLE,
CATIONIC POLYMERS, A
METHOD OF MAKING SAME
AND ITEMS USING SAME

Examiner: Tamra Dicus

Art Unit: 1774

Attorney Docket No: 659/1610


SIXTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(c), Applicants hereby cite the following reference(s):

DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME
2,982,682	5/2/1961	Matlin et al.
3,385,839	5/28/1968	Honig et al.
3,480,463	11/25/1969	Rankin
4,151,148	4/24/1979	Chasin et al.
5,451,432	9/19/1995	Loflon
5,478,631	12/26/1995	Kawano et al.
5,518,585	5/21/1996	Huth et al.
5,597,675	1/28/1997	Arudi et al.
5,645,968	7/8/1997	Sacripante et al.
5,921,912	7/13/1999	Hart et al.
6,007,803	12/28/1999	Mandeville, III et al.
6,127,593	10/3/2000	Bjorkquist et al.
6,139,986	10/31/2000	Carlson et al.
6,183,844	2/6/2001	Li
6,251,849	6/28/2001	Jeschke et al.
6,265,049	7/24/2001	Swisher et al.
6,290,947	9/18/2001	Fitzpatrick et al.
6,358,365	3/19/2002	Zhang et al.
6,379,501	4/30/2002	Zhang et al.
6,413,621	7/2/2002	Mayes et al.
6,423,804	7/23/2002	Chang et al.
6,429,281	8/6/2002	Lang et al.
6,537,663	3/25/2003	Chang et al.
6,548,592	4/15/2003	Lang et al.

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Appln. No. 09/815,251Attorney Docket No. 659/1610


DOCUMENT NUMBER <small>Number/Kind Code (if known)</small>	DATE	NAME
6,579,570	6/17/2003	Lang et al.
5,586,529	7/1/2003	Munick et al.
6,599,848	7/29/2003	Chen et al.
6,802,956	8/5/2003	Soerens et al.
6,630,558	10/7/2003	Chang et al.
6,653,406	11/25/2003	Soerens et al.
6,683,143	1/27/2004	Munick et al.
6,713,414	3/30/2004	Pomplun et al.
6,815,502	11/9/2004	Lange et al.
6,828,014	12/7/2004	Branham et al.
6,897,168	5/24/2005	Branham et al.
6,908,988	6/21/2005	Chang et al.
2003/0027470 A1	2/6/2003	Chang et al.
2003/0032352 A1	2/13/2003	Chang et al.
2004/0030080 A1	2/12/2004	Chang et al.

FOREIGN DOCUMENTS


DOCUMENT NUMBER <small>Number/Kind Code (if known)</small>	DATE	COUNTRY
JP 74043114	11/19/1974	Japan

Applicants are enclosing Form PTO-1449 (two sheets), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

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Appln. No. 09/815,261Attorney Docket No. 659/1610

Applicants have calculated a processing fee in the amount of \$180.00 to be due under 37 C.F.R. §1.17(p) in connection with the filing of this Statement. Applicants have enclosed a check covering this fee, or authorized charging the fee to a deposit account or credit card, as indicated in the Transmittal accompanying this Statement.

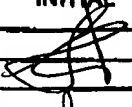
Respectfully submitted,

10/26/05
Date


Glen P. Belvis (Reg. No. 31,735)

FORM PTO-1449	SERIAL NO. 09/816,251	CASE NO. 659/1610
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE March 22, 2001	GROUP ART UNIT 1774
(use several sheets if necessary)		APPLICANT(S): Yihua Chang et. al.

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	G1	2,982,682	5/2/1981	Matlin et al.		
	G2	3,385,839	5/28/1988	Honig et al.		
	G3	3,480,463	11/25/1969	Rankin		
	G4	4,151,148	4/24/1979	Chasin et al.		
	G5	5,451,432	8/19/1995	Lofton		
	G6	5,478,631	12/26/1995	Kawano et al.		
	G7	5,518,585	5/21/1996	Huth et al.		
	G8	5,597,875	1/28/1987	Arudi et al.		
	G9	5,645,968	7/8/1997	Sacripante et al.		
	G10	5,921,912	7/13/1999	Hart et al.		
	G11	6,007,803	12/28/1999	Mandeville, III et al.		
	G12	6,127,593	10/3/2000	Bjorkquist et al.		
	G13	6,139,966	10/31/2000	Carlson et al.		
	G14	6,183,844	2/6/2001	Li		
	G15	6,251,849	6/26/2001	Jeschke et al.		
	G16	6,265,049	7/24/2001	Swisher et al.		
	G17	6,290,947	9/18/2001	Fitzpatrick et al.		
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	G19	6,379,501	4/30/2002	Zhang et al.		
	G20	6,413,821	7/2/2002	Mayes et al.		
	G21	6,423,804	7/23/2002	Chang et al.		
	G22	6,429,261	8/8/2002	Lang et al.		
	G23	6,537,663	3/25/2003	Chang et al.		
	G24	6,548,592	4/15/2003	Lang et al.		
	G25	6,579,570	6/17/2003	Lang et al.		
	G26	6,586,529	7/1/2003	Munick et al.		
	G27	6,599,848	7/29/2003	Chen et al.		
	G28	6,602,955	8/5/2003	Soerens et al.		
	G29	6,630,558	10/7/2003	Chang et al.		
	G30	6,653,406	11/25/2003	Soerens et al.		
	G31	6,683,143	1/27/2004	Munick et al.		
	G32	6,713,414	3/30/2004	Pomplun et al.		
	G33	6,815,502	11/9/2004	Lange et al.		
	G34	6,828,014	12/7/2004	Branham et al.		
	G35	6,897,168	5/24/2005	Branham et al.		
	G36	6,908,966	8/21/2005	Chang et al.		
	G37	2003/0027470 A1	2/6/2003	Chang et al.		
	G38	2003/0032352 A1	2/13/2003	Chang et al.		

EXAMINER 	DATE CONSIDERED 8/30/06
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Page 2 of 2

FORM PTO-1449	SERIAL NO. 09/815,251	CASE NO. 659/1610
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)	FILING DATE March 22, 2001	GROUP ART UNIT 1774
APPLICANT(S): Yihua Chang et. al.		

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	G39	2004/0030080 A1	2/12/2004	Chang et al.		

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
	G40	JP 74043114	11/19/1974	Japan		Abstract

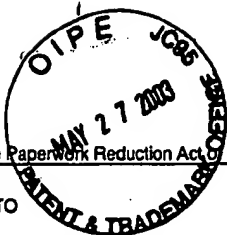
EXAMINER INITIAL	OTHER ART - NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	

EXAMINER 	DATE CONSIDERED 2/20/06
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PTO/SB/08A (08-00)

Approved for use through 10/31/2002 OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for Form 1449/A/PTO		INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete If Known	
				Application Number	09/815,251
		Filing Date	March 22, 2001		
		First Named Inventor	Chang et al.		
		Group Art Unit	1774		
		Examiner Name	Tamra Dicus		
Sheet 1		of 1	Attorney Docket Number	11302-1040 (44040-251242)	

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	1	2,892,822		Gray et al.	06-30-1959	
	2	5,397,672		Larson et al.	03-14-1995	
	3	5,441,841		Larson et al.	08-15-1995	
	4	5,459,007		Larson et al.	10-17-1995	
	5	5,525,449		Spiewak et al.	06-11-1996	

FOREIGN PATENT DOCUMENTS								
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		Office ³	Number ⁴	Kind Code ⁵ (if known)				

OTHER INFORMATION - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
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Examiner Signature		TC 1700	Date Considered	
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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent document, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.


FORM PTO-1449	SERIAL NO. 09/815,251	CASE NO. 659-1610 K-C Ref. 16529A
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE March 22, 2001	GROUP ART UNIT 1774
(use several sheets if necessary)	APPLICANT(S): Chang, Yihua et al.	

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
	H1	56035703 A2	08/1981	Japan		

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EXAMINER 	DATE CONSIDERED <u>3/8/00</u>
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Examiner: Tamra Dicus

Art Unit: 1774

Attorney Docket No: 659/1610

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6,537,663	3/25/2003	Chang et al.
6,548,592	4/15/2003	Lang et al.


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10/31/2005 MBELETE1 00000015 09815251

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DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME
6,579,570	6/17/2003	Lang et al.
5,586,529	7/1/2003	Munick et al.
6,599,848	7/29/2003	Chen et al.
6,602,955	8/5/2003	Soerens et al.
6,630,558	10/7/2003	Chang et al.
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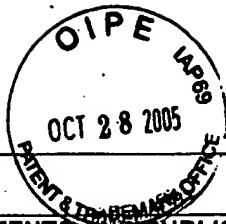
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Respectfully submitted,

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Glen P. Belvis (Reg. No. 31,735)



Page 1 of 2

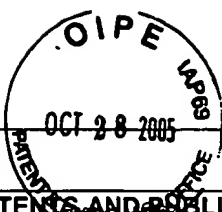
FORM PTO-1449	SERIAL NO. 09/815,251	CASE NO. 659/1610
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(use several sheets if necessary)		
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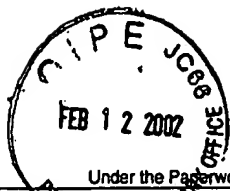
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	G40	JP 74043114	11/19/1974	Japan		Abstract

OTHER ART - NON PATENT LITERATURE DOCUMENTS

EXAMINER INITIAL	(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	

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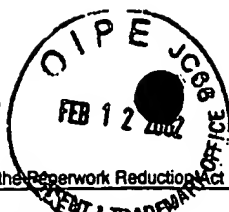
Substitute for Form PTO 100			Complete if Known	
			Application Number	09/815,251
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Filing Date	March 22, 2001
			First Named Inventor	Chang et al.
			Group Art Unit	1774
			Examiner Name	
			Attorney Docket Number	11302-1040
Sheet	1	of	18	

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U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	1	RE 25880		Cline	10/65	
	2	RE 28957		Drelich et al.	9/76	
	3	2,185,789		Jacque	1/40	
	4	2,265,913		Lilienfeld	12/41	
	5	2,306,451		Lilienfeld	12/42	
	6	2,831,852		Savage	4/58	
	7	3,097,991		Miller et al.	7/63	
	8	3,099,067		Merriam et al.	7/63	
	9	3,255,140		Sinn	6/66	
	10	3,255,141		Damm	6/66	
	11	3,340,327		Spellberg	9/67	
	12	3,388,082		Rodgers	6/68	
	13	3,406,688		Cubitt	10/68	
	14	3,435,705		Harmon	12/69	
	15	3,453,261		Scherff	7/69	
	16	3,461,193		Gilardi	8/69	
	17	3,480,016		Costanza et al.	11/69	
	18	3,483,240		Boudreau	12/69	
	19	3,484,394		Holdstock	12/69	
	20	3,582,519		Gomsi	6/71	
	21	3,515,325		Kalwaites	6/70	
	22	3,521,638		Parrish	7/70	
	23	3,546,755		Lynch, Jr.	12/70	
	24	3,554,862		Hervey	1/71	
	25	3,561,447		Alexander	2/71	
	26	3,564,677		Kalwaites	2/71	
	27	3,577,586		Kalwaites et al.	5/71	
	28	3,595,454		Kalwaites	7/71	
	29	3,616,797		Champaigne, Jr. et al.	11/71	
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	31	3,654,064		Laumann	4/72	
	32	3,656,672		Kalwaites	4/72	
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	34	3,665,923		Champaigne, Jr.	5/72	
	35	3,670,069		Mitchell et al.	6/72	

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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent document, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.
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Application Number	09/815,251
Filing Date	3/22/01
First Named Inventor	Chang et al.
Group Art Unit	1771
Examiner Name	
Attorney Docket Number	11302-1040 (44040-251242)

Sheet 2 of 13

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Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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	37	3,683,919		Ells	8/72	
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	39	3,709,876		Glomski	1/73	
	40	3,712,847		Rasmussen	1/73	
	41	3,719,540		Hall	3/73	
	42	3,753,826		Plummer	8/73	
	43	3,800,797		Tunc	4/74	
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Examiner Signature		Date Considered	8/02
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Application Number 09/815,251
Filing Date 3/22/01
First Named Inventor Chang et al.
Group Art Unit 1771
Examiner Name
Attorney Docket Number 11302-1040 (44040-251242)

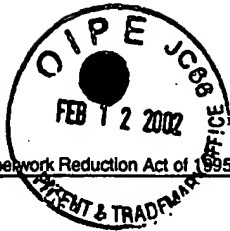
U.S. PATENT DOCUMENTS

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Application Number	09/815,251
Filing Date	3/22/01
First Named Inventor	Chang et al.
Group Art Unit	1771
Examiner Name	
Attorney Docket Number	11302-1040 (44040-251242)

Sheet 4 of 13

U.S. PATENT DOCUMENTS

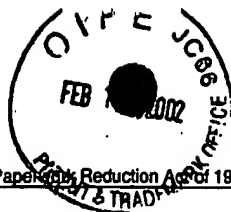
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	131	4,737,405		Bouchette	4/88	
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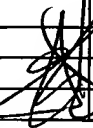


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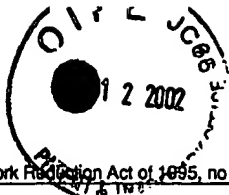
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		Application Number	09/815,251
		Filing Date	3/22/01
		First Named Inventor	Chang et al.
		Group Art Unit	1771
Examiner Name			
Attorney Docket Number	11302-1040 (44040-251242)		
Sheet	5	of	13

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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		Number	Kind Code ² (if known)			
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	150	5,045,387		Schmalz	9/91	
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Examiner Signature					Date Considered	

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Sheet 6

of 13

Application Number 09/815,251
Filing Date 3/22/01
First Named Inventor Chang et al.
Group Art Unit 1771
Examiner Name
Attorney Docket Number 11302-1040 (44040-251242)

U.S. PATENT DOCUMENTS

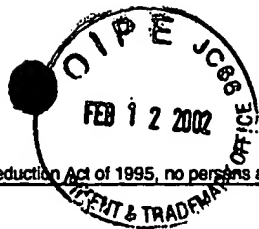
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Examiner Signature

Date Considered

3/02

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Group Art Unit	1771
Examiner Name	
Attorney Docket Number	11302-1040 (44040-251242)

Sheet 7 of 13

U.S. PATENT DOCUMENTS

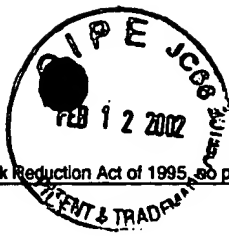
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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent document, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE
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Sheet	8	of	13	Application Number	09/815,251
				Filing Date	3/22/01
				First Named Inventor	Chang et al.
				Group Art Unit	1771
				Examiner Name	
				Attorney Docket Number	11302-1040 (44040-251242)

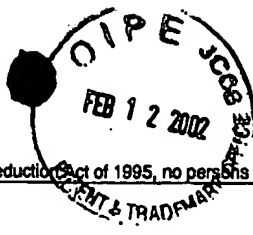
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Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Application Number	09/815,251
Filing Date	3/22/01
First Named Inventor	Chang et al.
Group Art Unit	1771
Examiner Name	
Attorney Docket Number	11302-1040 (44040-251242)

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
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Examiner Signature						Date Considered		

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/815,251 FEB 14 2002
		Filing Date	3/22/01
		First Named Inventor	Chang et al. TG 1700
		Group Art Unit	1771
		Examiner Name	
Sheet 10 of 13	Attorney Docket Number	11302-1040 (44040-251242)	

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		Number	Kind Code ² (if known)				
	330	WO 99/25318	A1	The Procter & Gamble Co.	5/99		
	331	WO 99/07273	A1	The Procter & Gamble Co.	2/99		
	332	WO 99/01106	A1	Firmenich S.A.	1/99		
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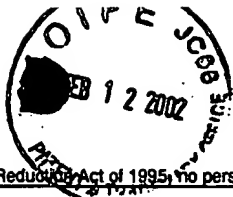
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		Application Number	09/815,251
		Filing Date	3/22/01
		First Named Inventor	Chang et al.
		Group Art Unit	1771
Sheet 11	of 13	Examiner Name	
		Attorney Docket Number	11302-1040 (44040-251242)

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	366	EP	0 637 950	B1	The Procter & Gamble Co.	7/98		
	367	EP	0 639 381	A1	Kimberly-Clark Corporation	2/95		
	368	EP	0 648 871	A1	Kuraray Co.	4/95		
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	372	EP	0 693 915	B1	The Procter & Gamble Co.	9/99		
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	383	EP	0 792 144	B1	The Procter & Gamble Co.	12/98		
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Substitute for Form 1449/APTO			Application Number		09/815,251
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			First Named Inventor		Chang et al.
			Group Art Unit		1771
			Examiner Name		
Sheet	12	of	13	Attorney Docket Number	11302-1040 (44040-251242)

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
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	404	WO	95/18191	A1	Eastman Chem. Corp.	7/95		
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Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	426	Patent Abstract Japan, JP 06-207324 (Unitka Ltd.), 7/26/94.	
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		Group Art Unit	1771
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Sheet	13	of	13

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	434	Abstract Derwent WPI and JAPIO, JP 63/139906 (Lion Corp.) 6/11/88	
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Examiner Signature		Date Considered	
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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent document, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.